

Please type a plus sign (+) inside this box → +

MODIFIED PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>UTILITY PATENT APPLICATION TRANSMITTAL</b> <small>(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))</small>		<b>Attorney Docket No.</b> 005284.00198	
		<b>First Inventor</b> David Hung	
		<b>Title</b> Methods for Identifying, Treating or Monitoring Asymptomatic Patients for Risk Reduction or Therapeutic Treating of Breast Cancer	
		<b>Express Mail Label No.</b>	

<b>APPLICATION ELEMENTS</b> <small>See MPEP chapter 600 concerning utility patent application contents.</small> 1. <input checked="" type="checkbox"/> <b>Fee Transmittal Form (e.g., PTO/SB/17)</b> <small>(Submit an original and a duplicate for fee processing)</small> 2. <input type="checkbox"/> <b>Applicant claims small entity status.</b> <small>See 37 CFR 1.27.</small> 3. <input checked="" type="checkbox"/> <b>Specification</b> [Total Pages <span style="border: 1px solid black; padding: 0 5px;">47</span> ] <small>(preferred arrangement set forth below)</small> <ul style="list-style-type: none"><li>- Descriptive title of the Invention</li><li>- Cross Reference to Related Applications</li><li>- Statement Regarding Fed sponsored R &amp; D</li><li>- Reference to sequence listing, a table, or a computer program listing appendix</li><li>- Background of the Invention</li><li>- Brief Summary of the Invention</li><li>- Brief Description of the Drawings (if filed)</li><li>- Detailed Description</li><li>- Claim(s)</li><li>- Abstract of the Disclosure</li></ul> 4. <input checked="" type="checkbox"/> <b>Drawing(s) (35 U.S.C. 113)</b> [Total Sheets <span style="border: 1px solid black; padding: 0 5px;">0</span> ] a. <input checked="" type="checkbox"/> <b>Formal</b> ; or b. <input type="checkbox"/> <b>Informal</b> 5. <b>Oath or Declaration</b> [Total Pages <span style="border: 1px solid black; padding: 0 5px;">1</span> ] a. <input type="checkbox"/> Newly executed (original or copy); or b. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d)) <small>(for a continuation/divisional with Box 18 completed)</small> i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> <small>Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</small> 6. <input checked="" type="checkbox"/> <b>Application Data Sheet.</b> See 37 CFR 1.76	<b>ADDRESS TO:</b> Assistant Commissioner for Patents Box Patent Application Washington, DC 20231  7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix) 8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identity of above copies  <b>ACCOMPANYING APPLICATIONS PARTS</b> 9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s)) 10. <input type="checkbox"/> 37 C.F.R. §3.73(b) Statement <input type="checkbox"/> Power of Attorney <small>(when there is an assignee)</small> 11. <input type="checkbox"/> English Translation Document (if applicable) 12. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations 13. <input checked="" type="checkbox"/> Preliminary Amendment 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <small>(Should be specifically itemized)</small> 15. <input type="checkbox"/> Certified Copy of Priority Document(s) <small>(if foreign priority is claimed)</small> 16. <input type="checkbox"/> Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. 17. <input checked="" type="checkbox"/> Other: <u>Copy of Revocation and Power of Attorney from Parent Application</u>
---	---

18. If a **CONTINUING APPLICATION**, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

<input type="checkbox"/> Continuation	<input checked="" type="checkbox"/> Divisional	<input type="checkbox"/> Continuation-in-part (CIP)	of prior application No: <u>09/ 331,463</u> which is a non-provisional of U.S. Provisional Serial No. 60/117,281.
---------------------------------------	--	---	---

Prior application information: Examiner: S. Huff Group / Art Unit: 1642

**For CONTINUATION or DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

<b>17. CORRESPONDENCE ADDRESS</b>					
<input checked="" type="checkbox"/> Customer Number or Bar Code Label		22907		or <input type="checkbox"/> Correspondence address below	
		<small>(Insert Customer No. or Attach bar code label here)</small>			
Name					
Address					
City		State		Zip Code	
Country		Telephone		Fax	

Name (Print/Type)	Brian E. Hanlon	Registration No. (Attorney/Agent)	40,449
Signature	<i>Brian E. Hanlon</i>	Date	6/30/03

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark

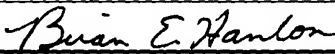
13408 U.S. PTO  
06/30/03

<h1 style="text-align: center;">FEE TRANSMITTAL</h1> <h2 style="text-align: center;">for FY 2003</h2> <p style="text-align: center;">Patent fees are subject to annual revision.</p>		Complete If Known	
		Application Number	TBA
		Filing Date	June 30, 2003
		First Named Inventor	David Hung
		Examiner Name	Unknown
		Art Unit	Unknown
		Attorney Docket No.	005284.00198

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT	(\$)	1410
-------------------------	------	------

<b>METHOD OF PAYMENT (check all that apply)</b> <input type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money <input type="checkbox"/> Other <input type="checkbox"/> None Order <input checked="" type="checkbox"/> Deposit Account:  Deposit Account Number: 19-0733  Deposit Account Name: Banner & Witcoff, Ltd.  The Commissioner is authorized to: (check all that apply) <input checked="" type="checkbox"/> Charge fee(s) indicated below <input checked="" type="checkbox"/> Credit any overpayments <input type="checkbox"/> Charge any additional fee(s) during the pendency of this application <input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.		<b>FEE CALCULATION (continued)</b> <b>3. ADDITIONAL FEES</b>																																																																																																																																																																																																																																											
<b>1. BASIC FILING FEE</b> <table border="1"> <thead> <tr> <th>Large Entity</th> <th>Small Entity</th> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>1001</td> <td>2001</td> <td>750</td> <td>375</td> <td>Utility filing fee</td> <td>750</td> </tr> <tr> <td>1002</td> <td>2002</td> <td>330</td> <td>165</td> <td>Design filing fee</td> <td></td> </tr> <tr> <td>1003</td> <td>2003</td> <td>520</td> <td>260</td> <td>Plant filing fee</td> <td></td> </tr> <tr> <td>1004</td> <td>2004</td> <td>750</td> <td>375</td> <td>Reissue filing fee</td> <td></td> </tr> <tr> <td>1005</td> <td>2005</td> <td>160</td> <td>80</td> <td>Provisional filing fee</td> <td></td> </tr> <tr> <td colspan="5" style="text-align: right;"><b>SUBTOTAL (1)</b></td> <td>(\$) 750</td> </tr> </tbody> </table>		Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid	1001	2001	750	375	Utility filing fee	750	1002	2002	330	165	Design filing fee		1003	2003	520	260	Plant filing fee		1004	2004	750	375	Reissue filing fee		1005	2005	160	80	Provisional filing fee		<b>SUBTOTAL (1)</b>					(\$) 750	<table border="1"> <thead> <tr> <th>Large Entity</th> <th>Small Entity</th> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>1051</td> <td>2051</td> <td>130</td> <td>65</td> <td>Surcharge - late filing fee or oath</td> <td></td> </tr> <tr> <td>1052</td> <td>2052</td> <td>50</td> <td>25</td> <td>Surcharge - late provisional filing fee or cover sheet</td> <td></td> </tr> <tr> <td>1053</td> <td>1053</td> <td>130</td> <td>130</td> <td>Non-English specification</td> <td></td> </tr> <tr> <td>1812</td> <td>1812</td> <td>2,520</td> <td>2,520</td> <td>For filing a request for <i>exparte</i> reexamination</td> <td></td> </tr> <tr> <td>1804</td> <td>1804</td> <td>920*</td> <td>920*</td> <td>Requesting publication of SIR prior to Examiner action</td> <td></td> </tr> <tr> <td>1805</td> <td>1805</td> <td>1,840*</td> <td>1,840*</td> <td>Requesting publication of SIR after Examiner action</td> <td></td> </tr> <tr> <td>1251</td> <td>2251</td> <td>110</td> <td>55</td> <td>Extension for reply within first month</td> <td></td> </tr> <tr> <td>1252</td> <td>2252</td> <td>410</td> <td>205</td> <td>Extension for reply within second month</td> <td></td> </tr> <tr> <td>1253</td> <td>2253</td> <td>930</td> <td>465</td> <td>Extension for reply within third month</td> <td></td> </tr> <tr> <td>1254</td> <td>2254</td> <td>1,450</td> <td>725</td> <td>Extension for reply within fourth month</td> <td></td> </tr> <tr> <td>1255</td> <td>2255</td> <td>1,970</td> <td>985</td> <td>Extension for reply within fifth month</td> <td></td> </tr> <tr> <td>1401</td> <td>2401</td> <td>320</td> <td>160</td> <td>Notice of Appeal</td> <td></td> </tr> <tr> <td>1402</td> <td>2402</td> <td>320</td> <td>160</td> <td>Filing a brief in support of an appeal</td> <td></td> </tr> <tr> <td>1403</td> <td>2403</td> <td>280</td> <td>140</td> <td>Request for oral hearing</td> <td></td> </tr> <tr> <td>1451</td> <td>1451</td> <td>1,510</td> <td>1,510</td> <td>Petition to institute a public use proceeding</td> <td></td> </tr> <tr> <td>1452</td> <td>2452</td> <td>110</td> <td>55</td> <td>Petition to revive - unavoidable</td> <td></td> </tr> <tr> <td>1453</td> <td>2453</td> <td>1,300</td> <td>650</td> <td>Petition to revive - unintentional</td> <td></td> </tr> <tr> <td>1501</td> <td>2501</td> <td>1,300</td> <td>650</td> <td>Utility issue fee (or reissue)</td> <td></td> </tr> <tr> <td>1502</td> <td>2502</td> <td>470</td> <td>235</td> <td>Design issue fee</td> <td></td> </tr> <tr> <td>1503</td> <td>2503</td> <td>630</td> <td>315</td> <td>Plant issue fee</td> <td></td> </tr> <tr> <td>1460</td> <td>1460</td> <td>130</td> <td>130</td> <td>Petitions to the Commissioner</td> <td></td> </tr> <tr> <td>1807</td> <td>1807</td> <td>50</td> <td>50</td> <td>Processing fee under 37 CFR 1.17 (q)</td> <td></td> </tr> <tr> <td>1806</td> <td>1806</td> <td>180</td> <td>180</td> <td>Submission of Information Disclosure Stmt</td> <td></td> </tr> <tr> <td>8021</td> <td>8021</td> <td>40</td> <td>40</td> <td>Recording each patent assignment per property (times number of properties)</td> <td></td> </tr> <tr> <td>1809</td> <td>2809</td> <td>750</td> <td>375</td> <td>Filing a submission after final rejection (37 CFR § 1.129(a))</td> <td></td> </tr> <tr> <td>1810</td> <td>2810</td> <td>750</td> <td>375</td> <td>For each additional invention to be examined (37 CFR § 1.129(b))</td> <td></td> </tr> <tr> <td>1801</td> <td>2801</td> <td>750</td> <td>375</td> <td>Request for Continued Examination (RCE)</td> <td></td> </tr> <tr> <td>1802</td> <td>1802</td> <td>900</td> <td>900</td> <td>Request for expedited examination of a design application</td> <td></td> </tr> <tr> <td colspan="5">Other fee (specify) _____</td> <td></td> </tr> <tr> <td colspan="5">*Reduced by Basic Filing Fee Paid</td> <td></td> </tr> <tr> <td colspan="5" style="text-align: right;"><b>SUBTOTAL (3)</b></td> <td>(\$) 0</td> </tr> </tbody> </table>		Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid	1051	2051	130	65	Surcharge - late filing fee or oath		1052	2052	50	25	Surcharge - late provisional filing fee or cover sheet		1053	1053	130	130	Non-English specification		1812	1812	2,520	2,520	For filing a request for <i>exparte</i> reexamination		1804	1804	920*	920*	Requesting publication of SIR prior to Examiner action		1805	1805	1,840*	1,840*	Requesting publication of SIR after Examiner action		1251	2251	110	55	Extension for reply within first month		1252	2252	410	205	Extension for reply within second month		1253	2253	930	465	Extension for reply within third month		1254	2254	1,450	725	Extension for reply within fourth month		1255	2255	1,970	985	Extension for reply within fifth month		1401	2401	320	160	Notice of Appeal		1402	2402	320	160	Filing a brief in support of an appeal		1403	2403	280	140	Request for oral hearing		1451	1451	1,510	1,510	Petition to institute a public use proceeding		1452	2452	110	55	Petition to revive - unavoidable		1453	2453	1,300	650	Petition to revive - unintentional		1501	2501	1,300	650	Utility issue fee (or reissue)		1502	2502	470	235	Design issue fee		1503	2503	630	315	Plant issue fee		1460	1460	130	130	Petitions to the Commissioner		1807	1807	50	50	Processing fee under 37 CFR 1.17 (q)		1806	1806	180	180	Submission of Information Disclosure Stmt		8021	8021	40	40	Recording each patent assignment per property (times number of properties)		1809	2809	750	375	Filing a submission after final rejection (37 CFR § 1.129(a))		1810	2810	750	375	For each additional invention to be examined (37 CFR § 1.129(b))		1801	2801	750	375	Request for Continued Examination (RCE)		1802	1802	900	900	Request for expedited examination of a design application		Other fee (specify) _____						*Reduced by Basic Filing Fee Paid						<b>SUBTOTAL (3)</b>					(\$) 0
Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																																																																								
1001	2001	750	375	Utility filing fee	750																																																																																																																																																																																																																																								
1002	2002	330	165	Design filing fee																																																																																																																																																																																																																																									
1003	2003	520	260	Plant filing fee																																																																																																																																																																																																																																									
1004	2004	750	375	Reissue filing fee																																																																																																																																																																																																																																									
1005	2005	160	80	Provisional filing fee																																																																																																																																																																																																																																									
<b>SUBTOTAL (1)</b>					(\$) 750																																																																																																																																																																																																																																								
Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																																																																								
1051	2051	130	65	Surcharge - late filing fee or oath																																																																																																																																																																																																																																									
1052	2052	50	25	Surcharge - late provisional filing fee or cover sheet																																																																																																																																																																																																																																									
1053	1053	130	130	Non-English specification																																																																																																																																																																																																																																									
1812	1812	2,520	2,520	For filing a request for <i>exparte</i> reexamination																																																																																																																																																																																																																																									
1804	1804	920*	920*	Requesting publication of SIR prior to Examiner action																																																																																																																																																																																																																																									
1805	1805	1,840*	1,840*	Requesting publication of SIR after Examiner action																																																																																																																																																																																																																																									
1251	2251	110	55	Extension for reply within first month																																																																																																																																																																																																																																									
1252	2252	410	205	Extension for reply within second month																																																																																																																																																																																																																																									
1253	2253	930	465	Extension for reply within third month																																																																																																																																																																																																																																									
1254	2254	1,450	725	Extension for reply within fourth month																																																																																																																																																																																																																																									
1255	2255	1,970	985	Extension for reply within fifth month																																																																																																																																																																																																																																									
1401	2401	320	160	Notice of Appeal																																																																																																																																																																																																																																									
1402	2402	320	160	Filing a brief in support of an appeal																																																																																																																																																																																																																																									
1403	2403	280	140	Request for oral hearing																																																																																																																																																																																																																																									
1451	1451	1,510	1,510	Petition to institute a public use proceeding																																																																																																																																																																																																																																									
1452	2452	110	55	Petition to revive - unavoidable																																																																																																																																																																																																																																									
1453	2453	1,300	650	Petition to revive - unintentional																																																																																																																																																																																																																																									
1501	2501	1,300	650	Utility issue fee (or reissue)																																																																																																																																																																																																																																									
1502	2502	470	235	Design issue fee																																																																																																																																																																																																																																									
1503	2503	630	315	Plant issue fee																																																																																																																																																																																																																																									
1460	1460	130	130	Petitions to the Commissioner																																																																																																																																																																																																																																									
1807	1807	50	50	Processing fee under 37 CFR 1.17 (q)																																																																																																																																																																																																																																									
1806	1806	180	180	Submission of Information Disclosure Stmt																																																																																																																																																																																																																																									
8021	8021	40	40	Recording each patent assignment per property (times number of properties)																																																																																																																																																																																																																																									
1809	2809	750	375	Filing a submission after final rejection (37 CFR § 1.129(a))																																																																																																																																																																																																																																									
1810	2810	750	375	For each additional invention to be examined (37 CFR § 1.129(b))																																																																																																																																																																																																																																									
1801	2801	750	375	Request for Continued Examination (RCE)																																																																																																																																																																																																																																									
1802	1802	900	900	Request for expedited examination of a design application																																																																																																																																																																																																																																									
Other fee (specify) _____																																																																																																																																																																																																																																													
*Reduced by Basic Filing Fee Paid																																																																																																																																																																																																																																													
<b>SUBTOTAL (3)</b>					(\$) 0																																																																																																																																																																																																																																								
<b>2. EXTRA CLAIM FEES</b> <table border="1"> <thead> <tr> <th>Total Claims</th> <th>Extra Claims</th> <th>Fee from below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>52</td> <td>-20 **</td> <td>32</td> <td>18</td> </tr> <tr> <td>4</td> <td>-3 **</td> <td>1</td> <td>84</td> </tr> <tr> <td colspan="3">Multiple Dependent</td> <td>0</td> </tr> </tbody> </table> <table border="1"> <thead> <tr> <th>Large Entity</th> <th>Small Entity</th> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>1202</td> <td>2202</td> <td>18</td> <td>9</td> <td>Claims in excess of 20</td> <td></td> </tr> <tr> <td>1201</td> <td>2201</td> <td>84</td> <td>42</td> <td>Independent claims in excess of 3</td> <td></td> </tr> <tr> <td>1203</td> <td>2203</td> <td>280</td> <td>140</td> <td>Multiple dependent claim, if not paid</td> <td></td> </tr> <tr> <td>1204</td> <td>2204</td> <td>84</td> <td>42</td> <td>** Reissue independent claims over original patent</td> <td></td> </tr> <tr> <td>1205</td> <td>2205</td> <td>18</td> <td>9</td> <td>** Reissue claims in excess of 20 and over original patent</td> <td></td> </tr> <tr> <td colspan="5" style="text-align: right;"><b>SUBTOTAL (2)</b></td> <td>(\$) 660</td> </tr> </tbody> </table> <p>**or number previously paid, if greater; For Reissues, see above</p>		Total Claims	Extra Claims	Fee from below	Fee Paid	52	-20 **	32	18	4	-3 **	1	84	Multiple Dependent			0	Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid	1202	2202	18	9	Claims in excess of 20		1201	2201	84	42	Independent claims in excess of 3		1203	2203	280	140	Multiple dependent claim, if not paid		1204	2204	84	42	** Reissue independent claims over original patent		1205	2205	18	9	** Reissue claims in excess of 20 and over original patent		<b>SUBTOTAL (2)</b>					(\$) 660																																																																																																																																																																																		
Total Claims	Extra Claims	Fee from below	Fee Paid																																																																																																																																																																																																																																										
52	-20 **	32	18																																																																																																																																																																																																																																										
4	-3 **	1	84																																																																																																																																																																																																																																										
Multiple Dependent			0																																																																																																																																																																																																																																										
Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																																																																								
1202	2202	18	9	Claims in excess of 20																																																																																																																																																																																																																																									
1201	2201	84	42	Independent claims in excess of 3																																																																																																																																																																																																																																									
1203	2203	280	140	Multiple dependent claim, if not paid																																																																																																																																																																																																																																									
1204	2204	84	42	** Reissue independent claims over original patent																																																																																																																																																																																																																																									
1205	2205	18	9	** Reissue claims in excess of 20 and over original patent																																																																																																																																																																																																																																									
<b>SUBTOTAL (2)</b>					(\$) 660																																																																																																																																																																																																																																								

<b>SUBMITTED BY</b>		Complete (if applicable)	
Name (Print/Type)	Brian E. Hanlon	Registration No. Attorney/Agent	40,449
Signature			Telephone
		Date	6/30/03

**WARNING: Information on this form may become public. Credit card information should not be included on this form.**  
Provide credit card information and authorization on PTO-2038.  
This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231